

COMMISSION ON TECHNOLOGY
Agenda Information/Action Item
Meeting Date: June 3, 2016

<i>Agenda Item:</i>	<i>Type of Action Requested:</i>
<u>DECISIONS</u> - Review, Discuss, Approve/Table/Reject	<input checked="" type="checkbox"/> Formal Action/Request <input type="checkbox"/> Information Only <input type="checkbox"/> Other

FROM:

Mr. Karl Heckart, AOC ITD Director, CIO

SUMMARY:

Given the financial situation described in the earlier operational/financial review, Karl Heckart will review the resource and cost implications of completing the current authorized projects. The project list becomes input for the Branch IT Strategic Plan this year as well as next year's IT planning template for county courts.

Members will apply the priorities and guidelines previously agreed upon and make funding recommendations to AJC on various proposed items or categories, including:

- Operation of current statewide systems
- Development already underway on all statewide systems/projects, previously approved, including JOLTSaz, CMS, and e-filing development & implementation activities
- Any new initiatives presented having Statewide impact

Members will also formally consider various proposals introduced at earlier points in the meeting including enterprise architecture targets, minimum security standards, code section revisions, and extensions of time for ERR&D activities in requesting courts.

The enterprise architecture table was last approved in February of 2014. Karl Heckart will share the updates proposed by COT's Technical Advisory Council and answer members' questions about any specific items or the process of arriving at TAC's recommendation. The updated table is attached for members' reference.

Creation of the minimum security standards for courts has been the focus of TAC's FY16 meetings, responds to findings from a recent, third-party penetration audit, and represents the beginning of a comprehensive security program needed to address the rapidly changing threat environment courts now find themselves residing in. The proposed standards are attached for members' reference

TAC members have proposed revisions to two main areas of the technical requirements for substituting a digital records in place of a paper court record. The changes would allow virtual tape to be used in place of offsite backup tapes and also allow but no longer require third-party skills certification for server and database administrators responsible for maintaining the systems on which court records are stored. A highlighted printout of the proposed changes is attached.

AO 2014-117 ordered that courts operating case management systems design an automated electronic records destruction process for their systems, with implementation and a copy of the court's process provided to the AOC by January 1, 2016, unless the court applied to COT for additional time to implement. Three courts are now requesting further extension: Maricopa Superior Court, Pima Superior Court, and Mesa Municipal Court. Karl will review the particulars of their plan and timelines unless they have a court representative address the Commission.

STAFF RECOMMENDATION:

Operating Budget and Ongoing Projects – Includes maintenance of network, applications, and technical support as well as improvements for shared services provided to courts. CACC and the steering committees continue to monitor the JOLTSaz, CMS, AZTurboCourt, eBench, eUniversa, and eAccess efforts underway. Operating budget now includes funding for enhancements to statewide automation.

Enterprise Architecture Target Updates – A “building code” for technology is more important than ever and, due to increased integration with outside systems, needs to be more widely communicated than in the past. Staff was involved in discussions throughout the development of the proposed changes to the architecture table and recommends approval.

Minimum Security Standards – Members should consider the appropriateness of the required items in light of the rapidly expanding/mutating threat environment and the cost a data breach or ransomware event brings to public perception of the courts. Objections raised by technical resources largely involve size of local gaps and the cost of closure, not the validity of the specific requirements themselves. Providing some time for gaps to be addressed prior to any audit activities based on the minimum requirements is a necessary step in adoption. Staff recommends approval but with a deferred implementation period that takes into account work needed at the largest courts. AJC is also a likely next stop for the standards.

ACJA 1-507 Revisions – Changes in technology have made language related to tertiary backups practically obsolete. Staff feels the TAC proposal acceptably updates

the requirements for newer virtual tape technology. Members should consider the appropriateness of additional language about certification of technical resources who install and maintain the components of a digital recordkeeping system, as contained in the TAC proposal. Staff is sensitive to the cost and possible abuses of third-party skills validation, but not convinced that self-certifying technical skills is appropriate for local court business leadership when the integrity of the official court record is at stake. Staff recommends continued requirement of third-party certification for all technical skills.

Extension of Time for ERR&D Activities – Members should consider the size and complexity of the task for courts operating their own case management systems and document management systems. The requirement to come to COT represents an accountability point to ensure the work is being managed to completion in order to carry out the recommendations of the ERR&D Committee, as ratified by AJC in December 2013. Staff has reviewed the individual plans and timelines and recommends approval of the requested extensions.

ACTION OPTIONS:

FUND THE OPERATION OF EXISTING STATEWIDE SYSTEMS AND CONTINUED DEVELOPMENT OF PREVIOUSLY AUTHORIZED STATEWIDE PROJECTS, INCLUDING ONGOING ENHANCEMENTS TO STATEWIDE AUTOMATION:

1. Approve the funding of existing operations and continued development of previously authorized statewide automation, as presented.
2. Approve the funding for existing operations and continued development of previously authorized statewide automation but in an amount other than requested, as documented.
3. Withhold approval for the funding of existing operations and ongoing statewide projects, not recommending further operation of existing statewide systems or continued development.
4. Table the consideration of funding of existing operations and continuation of current projects for later discussion.

UPDATES TO THE ENTERPRISE ARCHITECTURE TABLE

1. Approve the bi-annual updates to the Enterprise Architecture table as recommended by TAC.
2. Approve the bi-annual updates to the Enterprise Architecture table but with changes, as documented.
3. Disapprove the bi-annual updates to the Enterprise Architecture table, thereby sending the effort back to TAC.
4. Table any decision about the Enterprise Architecture table bi-annual update until a later time.

MINIMUM SECURITY STANDARDS RECOMMENDATION

1. Recommend the contents of the minimum security standards table and effective dates, to AJC for approval, as presented.
2. Recommend the contents of the minimum security standards table and effective dates, with changes, to AJC for approval.
3. Recommend the contents of the minimum security standards table to AJC for approval and determination of an effective dates.
4. Return the minimum security standards table to TAC for additional work prior to consideration at a future COT meeting.
5. Take no action regarding the minimum security standards table or effective dates at this time.

ACJA 1-507 WORDING CHANGES, VIRTUAL TAPE TECHNOLOGY

1. Approve the wording changes to ACJA § 1-507 related to virtual tape technology, as recommended by TAC.
2. Approve the wording changes to ACJA § 1-507, related to virtual tape technology but with changes as documented.
3. Return the code section to TAC for further revision related to virtual tape technology and re-consider at a later COT meeting.
4. Take no action, allowing the proposed changes to run the course of the formal revision process for administrative code sections.

ACJA 1-507 WORDING CHANGES, CERTIFICATION OPTIONS

1. Approve the wording changes to ACJA § 1-507 related to certification options, as recommended by TAC.
2. Approve the wording changes to ACJA § 1-507 related to certification options, but with changes as documented.
3. Return the code section to TAC for further revision related to certifications and re-consider at a later COT meeting.
4. Take no action, allowing the proposed changes to run the course of the formal revision process for administrative code sections.

EXTENSION OF TIME FOR ERR&D ACTIVITIES

MESA MUNICIPAL COURT

1. Approve Mesa Municipal Court's extension to July 31, 2016, for ERR&D activities, as presented.
2. Approve Mesa's revised timeline with modifications, as documented.
3. Do not approve Mesa's revised timeline, providing no direction.

4. Take no action regarding Mesa's revised timeline until a later point in time.

MARICOPA SUPERIOR COURT

1. Approve Maricopa Superior Court's extension to March 31, 2017, for ERR&D activities, as presented.
2. Approve Maricopa's revised timeline with modifications, as documented.
3. Do not approve Maricopa's revised timeline, providing no direction.
4. Take no action regarding Maricopa's revised timeline until a later point in time.

PIMA SUPERIOR COURT

1. Approve Pima Superior Court's extension to January 31, 2017, for ERR&D activities, as presented.
2. Approve Pima's request for extension but with modifications, as documented.
3. Do not approve Pima's request for extension, providing no direction to the court.
4. Take no action regarding Pima's request for extension until a later point in time.